

**HOGAN & HARTSON LLP****500 SOUTH GRAND AVENUE  
SUITE 1900  
LOS ANGELES, CA 90071**Tel.: (213) 337-6700  
Fax: (213) 337-6701**RECEIVED  
CENTRAL FAX CENTER  
JUN 05 2006**BALTIMORE  
BEIJING  
BERLIN  
BOULDER  
BRUSSELS  
BUDAPEST  
CARACAS  
COLORADO SPRINGS  
DENVER  
GENEVA  
HONG KONG  
LONDON  
LOS ANGELES  
MIAMI  
MOSCOW  
MUNICH  
NEW YORK  
NORTHERN VIRGINIA  
PARIS  
SHANGHAI  
TOKYO  
WARSAW  
WASHINGTON, D.C.**IMPORTANT NOTICE  
TELECOPY/FACSIMILE COVER LETTER**TO: Office of Initial Patent Examination's  
Filing Receipt CorrectionsDATE: 6/5/2006FROM: Mr. Lenin V. ZeledónTIME: 10:36 AMTOTAL NO. OF PAGES, INCLUDING COVER: 6

The attached information is **CONFIDENTIAL** and is intended only for the use of the addressee(s) named above. If the reader of this message is not the intended recipient(s) or the employee or agent responsible for delivering the message to the intended recipient(s), please note that any dissemination, distribution or copying of this communication is strictly prohibited. Anyone who receives this communication in error should notify us immediately by telephone and return the original message to us at the above address via the U.S. Mail.

**MESSAGE:****U.S. Patent Application No.: 10/563,009; Our Ref. No.: 81844.0048**

Please note the omission on the attached Filing Receipt. The "Applicants" section the spelling of the first name of the second applicant should read as follows: "Yohej Koi" the last letter should be "X" instead of "L".

Please provide us with the Corrected Filing Receipt as soon as possible.

Thank you.

Enclosures: (Official Filing Receipt, Recordation Form Cover Letter with Assignment)

**FOR INTERNAL PURPOSES ONLY**TELECOPY/FAX NUMBER: 1-571-273-8300CLIENT NUMBER: 81844.0048ATTORNEY BILLING NUMBER: Lenin V. ZeledónCONFIRMATION NUMBER: 213-337-6701



## UNITED STATES PATENT AND TRADEMARK OFFICE

KANEWA CORP. / DAP

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

| APPL NO.   | FILING OR 371<br>(c) DATE | ART UNIT | FIL FEE REC'D | ATTY. DOCKET NO | DRAWINGS | TOT CLMS | IND CLMS |
|------------|---------------------------|----------|---------------|-----------------|----------|----------|----------|
| 10/563,009 | 12/28/2005                | 1753     | 900           | 81844.0048      | 7        | 8        | 1        |

CONFIRMATION NO. 4064

026021  
HOGAN & HARTSON L.L.P.  
500 S. GRAND AVENUE  
SUITE 1900  
LOS ANGELES, CA 90071-2611

## FILING RECEIPT

OC000000018691451

Date Mailed: 05/08/2006

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Toru Sawada, Uji-shi, JAPAN;  
Yohel Koi, Ohtsu-shi, JAPAN;  
Toshiaki Sasaki, Ohtsu-shi, JAPAN;  
Masashi Yoshimi, Kobe-shi, JAPAN;  
Masahiro Goto, Otsu-shi, JAPAN;  
Kenji Yamamoto, Kobe-shi, JAPAN;

Power of Attorney: The patent practitioners associated with Customer Number 026021.

## Domestic Priority data as claimed by applicant

This application is a 371 of PCT/JP04/10248 07/12/2004

## Foreign Applications

## Acceptable Request to Retrieve Priority Application Received?

JAPAN 2003-279491 07/24/2003  
JAPAN 2003-358362 10/17/2003

NO  
NO

If Required, Foreign Filing License Granted: 05/04/2006

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US10/563,009**

Projected Publication Date: 08/10/2006

RECEIVED

MAY 31 2006

DOCKETING

**Non-Publication Request:** No

**Early Publication Request:** No

**Title**

Silicon based thin film solar cell

**Preliminary Class**

136

## **PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES**

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

---

### **LICENSE FOR FOREIGN FILING UNDER Title 35, United States Code, Section 184 Title 37, Code of Federal Regulations, 5.11 & 5.15**

#### **GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where

the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Bureau of Industry and Security, Department of Commerce (15 CFR parts 730-774); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

#### **NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

Form PTO-1595  
1-3-92RECORDATION FORM COVER LETTER  
**PATENTS ONLY**U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

Attorney Docket No.: 81844.0048

To the Assistant Commissioner for Patents: Please record the attached original documents or copy thereof.

## 1. Name of conveying party(ies):

Toru SAWADA, Yohei KOI, Yoshiaki SASAKI, Masashi YOSHIMI and  
Masahiro GOTO all signed 12/12/05 and Kenji YAMAMOTO signed  
12/15/05Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

## 2. Name and address of receiving party(ies):

KANEKA CORPORATION  
2-4, Nakanoshima 3-chome,  
Kita-ku, Osaka 530-8288 Japan**RECEIVED**  
**CENTRAL FAX CENTER**  
**JUN 05 2006**

## 3. Nature of conveyance:

☒ Assignment

Execution Date: December 12 and 15, 2005

Additional name(s) & address(es) attached? ☐ Yes ☒ No

## 4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: December 15, 2005

A. Patent Application No.(s)

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Dariusz G. Adli, Esq.  
HOGAN & HARTSON L.L.P.  
500 South Grand Avenue, Suite 1900  
Los Angeles, CA 90071

## 6. Total number of applications and patents involved: [ 1 ]

## 7. Total fee (37 CFR 3.41) \$40.00

☐ Enclosed  
☒ Authorized to be charged to deposit account

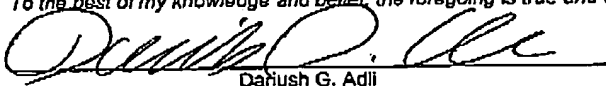
## 8. Deposit account number:

50-1314

(Attach duplicate copy of this page if paying by deposit account)

**DO NOT USE THIS SPACE**

## 9. Statement and signature.

*To the best of my knowledge and belief, the foregoing is true and correct and any attached copy is a true copy of the original document.*

Dariusz G. Adli

Date: December 28, 2005

OMB No. 0651-0011 (exp. 4/94)

Mail documents to be recorded with required cover sheet information to:

Mail Stop Assignment Recordation Services  
Director of the U.S. Patent and Trademark Office  
P.O. Box 1450  
Alexandria, VA 22313-1450

## ASSIGNMENT

(1-8) Name(s) of Inventor(s)

(1) Toru SAWADA  
 (2) Yohei KOI  
 (3) Toshiaki SASAKI  
 (4) Masashi YOSHIMI

(5) Masahiro GOTO  
 (6) Kenji YAMAMOTO  
 (7)  
 (8)

In consideration of the good and valuable considerations paid to each of the undersigned, the undersigned agree(s) to assign, and hereby does assign, transfer and set over to

(9) Name of Assignee

(9) KANEKA CORPORATION

(10) State of Incorporation of Assignee

(10) a corporation organized and existing under the laws of Japan

(11) Address of Assignee

(11) of 2-4, Nakanoshima 3-chome, Kita-ku, Osaka 530-8288, Japan  
 (hereinafter designated as the Assignee) the entire worldwide right, title and interest in the invention known as

(12) Identification of Invention, such as Title, Case Number or Foreign Application Number

(12) SILICON BASED THIN FILM SOLAR CELL  
 (international Application No. PGT/JP2004/010248 )  
 for which the undersigned has (have) executed an application for patent in the United States of America and all patent applications in foreign countries corresponding thereto or based thereon.

(13) Date(s) of Signing of Declaration

(13) on

1) The undersigned agree(s) to execute all papers necessary in connection with any original, reissue, divisional and continuing United States and foreign applications for the above-identified invention and also to execute separate assignments in connection with such applications as the Assignee may deem necessary or expedient.

2) The undersigned agree(s) to execute all papers necessary in connection with any interference which may be declared concerning this application or continuation or division thereof and to cooperate with the Assignee in every way possible in obtaining evidence and going forward with such interference.

3) The undersigned agree(s) to execute all papers and documents and perform any act which may be necessary in connection with claims or provisions of the International Convention for Protection of Industrial Property or similar agreements.

4) The undersigned agree(s) to perform all affirmative acts which may be necessary to obtain a grant of a valid United States patent to the Assignee.

5) The undersigned hereby authorize(s) and request(s) the Commissioner of Patents to issue any and all Letters Patents of the United States resulting from said application or any division or divisions or continuing applications thereof to the said Assignee, as Assignee of the entire interest, and hereby covenants that he has (they have) full right to convey the entire interest herein assigned, and that he has (they have) not executed any agreement in conflict herewith

6) The undersigned hereby appoints the persons associated with Customer Number:

000026021



26021

PATENT &amp; TRADEMARK OFFICE

the power to insert on this assignment any further identification which may be necessary or desirable in order to comply with the rules of the United States Patent and Trademark Office for recordation of this document.

Date: December 12, 2005

Signature of Inventor 1

Toru SawadaDate: December 12, 2005

Signature of Inventor 2

Yohei KoiDate: December 12, 2005

Signature of Inventor 3

Toshiaki SasakiDate: December 12, 2005

Signature of Inventor 4

Masashi YoshimiDate: December 12, 2005

Signature of Inventor 5

Masahiro GotoDate: December 15, 2005

Signature of Inventor 6

Kenji Yamamoto